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PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032.

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE:

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 076580.P011

Total Pages 5

First Named Inventor or Application Identifier Victor Kolesnik, etc.

Express Mail Label No. EL546447178US

ADDRESS TO: **Assistant Commissioner for Patents**  
**Box Patent Application**  
**Washington, D. C. 20231**

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2.  Specification (Total Pages 27 +1 Cover Page)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
3.  Drawings(s) (35 USC 113) (Total Sheets 8)
4.  Oath or Declaration (Total Pages 5 (signed))
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed) (**Note Box 5 below**)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.  Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a.  Computer Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

- 8.  Assignment Papers (cover sheet & documents(s))
- 9.  a. 37 CFR 3.73(b) Statement (where there is an assignee)  
 b. Power of Attorney
- 10.  English Translation Document (if applicable)
- 11.  a. Information Disclosure Statement (IDS)/PTO-1449  
 b. Copies of IDS Citations
- 12.  Preliminary Amendment
- 13.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- 14.  a. Small Entity Statement(s)  
 b. Statement filed in prior application, Status still proper and desired
- 15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
- 16.  Other: Express Mail Certificate and copy of postcard  
  

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17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

Continuation       Divisional       Continuation-in-part (CIP)  
of prior application No: 60/ 157,647

18. Correspondence Address

Customer Number or Bar Code Label      (Insert Customer No. or Attach Bar Code Label here)

or

Correspondence Address Below

NAME Daniel M. DeVos

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8598 FAX (408) 720-9397

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL FOR FY 2000****TOTAL AMOUNT OF PAYMENT (\$)** \$856.00**Complete if Known:**

Application No. Unassigned  
 Filing Date Herewith  
 First Named Inventor Victor Kolesnik, etc.  
 Group Art Unit Unassigned  
 Examiner Name Unassigned  
 Attorney Docket No. 076580.P011

**METHOD OF PAYMENT** (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

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Check  
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**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity		
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
101	690	201	345
106	310	206	155
107	480	207	240
108	690	208	345
114	150	214	75

**Fee Description**

Utility application filing fee	<b>Fee Paid</b>
Design application filing fee	<u>690.00</u>
Plant filing fee	_____
Reissue filing fee	_____
Provisional application filing fee	_____

**SUBTOTAL (1) \$ 690.00****2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims 20	- 20** = -0-	X 18	= -0-
Independent Claims 7	- 3** = 4	X 78	= 126.00
Multiple Dependent		_____	_____

\*\*Or number previously paid, if greater; For Reissues, see below.

**Large Entity Small Entity**

Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$ 126.00**

01/10/2000

- 1 -

PTO/SB/17 (6/99)

Patent fees are subject to annual revisions. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid.

See Forms PTO/SB/09-12

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
105	130	205	65
127	50	227	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee or cover sheet
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			Non-English specification
			For filing a request for reexamination
			Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*
			Requesting publication of SIR after Examiner action
115	110	215	55
116	380	216	190
117	870	217	435
118	1,360	218	680
128	1,850	228	925
119	300	219	150
120	300	220	150
121	260	221	130
138	1,510	138	1,510
140	110	240	55
			Petition to institute a public use proceeding
			Petition to revive unavoidably abandoned application
141	1,210	241	605
			Petition to revive unintentionally abandoned application
142	1,210	242	605
143	430	243	215
144	580	244	290
122	130	122	130
123	50	123	50
126	240	126	240
581	40	581	40
			Petitions to the Commissioner
			Petitions related to provisional applications
			Submission of Information Disclosure Stmt
			Recording each patent assignment per property (times number of properties)
146	690	246	345
			For filing a submission after final rejection (see 37 CFR 1.129(a))
149	690	249	345
			For each additional invention to be examined (see 37 CFR 1.129(a))
Other fee (specify)			
Other fee (specify)			

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Daniel M. DeVos

Signature

Date

8/25/00

Reg. Number

37,813

Deposit Account User ID

(complete if applicable)

Attorney Docket No. 76580.P012

PATENT

UNITED STATES PATENT APPLICATION  
FOR  
**LINEAR SPECTRAL FREQUENCIES CODING FOR LOW BIT RATE  
SPEECH COMPRESSION**

INVENTORS:

Victor D. Kolesnik  
Boris D. Kudryashov  
Eugenij Ovsjannikov  
Sergey Petrov  
Boris Trojanovsky

PREPARED BY:

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
12400 WILSHIRE BOULEVARD  
SEVENTH FLOOR  
LOS ANGELES, CA 90025-1026  
(408) 720-8598

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Sheena Hicks  
(Typed or printed name of person mailing paper or fee)  
Sheena Hicks 8-25-2000  
(Signature of person mailing paper or fee) Date

**LINEAR SPECTRAL FREQUENCIES CODING FOR LOW BIT RATE  
SPEECH COMPRESSION**

**NOTICE OF RELATED APPLICATION**

5        This is a continuation of US Provisional Patent Application Number 60/157,647, entitled "Method And Apparatus For A Linear Spectral Frequency Audio Compression," filed 10/4/99.

**FIELD OF INVENTION**

10      The invention relates to low rate speech coding in communication and data processing systems, and more particularly to spectrum quantization of voice signals

**BACKGROUND OF THE INVENTION**

15      Digital speech processing is extensively used in communication systems, telephony, digital answering machines, low rate videoconferencing, etc. Low rate speech coding is typically based on parametric modeling of the speech signal. The speech encoder computes representative parameters of the speech signal, quantizes them into products, and places them into the data stream,  
20 which may be sent over a digital communication link or saved in a digital storage media. A decoder uses those speech parameters to produce the synthesized speech.

Almost all known speech compression algorithms for bit rates less than or equal to 8000 are based on linear prediction. Typically, linear prediction coefficients (LPC) are transmitted as linear spectral frequencies (LSF) (sometimes they are called "linear spectral parameters (LSP)" or "linear spectral pairs (LSP)"). Depending on the bit rate provided by the speech compression algorithm, LSF are updated once per 10-30 ms. Usually a 10th order linear prediction filter is used, which means that the LSF are represented by a 10-dimensional vector.

**Figure 1** is a block diagram of a typical LSF encoder based on vector quantization. The current frame of a digitized speech signal enters the LSF calculator unit 110 where the current LSF vector is computed. Previous quantized LSF vectors are kept in the buffer memory 150. Typically only one last previous vector is stored in the buffer memory 150. The LSF predictor unit 160 computes some predetermined number of LSF vector predicted values. Indeed, some of these predicted values are typically independent of previous LSF vectors.

Then the current LSF vector and the set of predicted LSF vectors enters the vector quantizer unit 120. The vector quantizer unit 120 determines the best codebook index (or set of indices) and the best predictor number to provide the best approximation of the current LSF vector in the sense of some distortion measure. All indices computed by the vector quantizer enter indices encoder

unit 130 where they are transformed into the codeword corresponding to the current LSF vector.

This codeword is sent along with other speech parameters into a data link transmission medium or a digital memory. Also, the codebook indices and 5 predictor index enter the LSF reconstruction unit 140. Another input of the reconstruction unit is the set of predicted LSF vectors. In the LSF reconstruction unit 140 the quantized LSF vector is reconstructed. This vector is then saved in the buffer unit 150 to be used for prediction next LSF vectors.

Early quantizers used a single non-structured code and compared the 10 source vector to each entry in the codebook (referred to as "full search quantizers"). The performance of vector quantization depends on the size of the codebook used, and to obtain better results, larger codebooks have to be used. On the other hand, storage and processing complexities also increase with increasing codebook size. To overcome this problem, suboptimal vector 15 quantization procedures have been proposed that use multiple structured codebooks. One of the most widely used procedures is multistage vector quantization (MSVQ). In MSVQ a sequence of vector quantizers (VQ) is used. The input of the next VQ is the quantization error vector of the previous VQ.

An improvement on MSVQ is M-best or delayed decision MSVQ, which 20 is described in (W.P. LeBlanc, B. Bhattacharya, S.A. Mahmood and V. Cuperman, "Efficient search and design procedures for robust multistage VQ of LPC Parameters for 4 kb/s speech coding" *IEEE Transactions on speech and audio*

*processing*. Vol. 1, No. 4, October 1993, pp. 373-385). The M-best MSVQ achieves better quantization results by keeping from stage to stage a few candidates (M candidates). The final decision for each stage is made only when the last quantization stage is performed. The more candidates that are kept, the 5 higher the quantization that may be achieved and the greater the computational complexity.

The unit having the greatest impact on the performance of the quantizer is the vector quantization unit. Typically, an LSF vector is split into subvectors (usually 1 to 3 subvectors). A vector quantization procedure is then applied to 10 each subvector. To improve the quantization accuracy, it is necessary to increase the dimensions of the subvectors and the corresponding codebook sizes. However, this leads to increasing the computational load needed for full search quantization. To decrease computational complexity, a multistage M-best quantization procedure is used.

15 The block diagram of a two-stage M-best quantizer is shown in **Figure 2**. A source vector enters the first quantizer 210 having a smaller structured codebook  $C_1$  of size  $L_1$ . For each entry  $x$  of the set of  $L_1$  codewords, the residual, or error vector is computed by subtracting  $x$  from the source vector. The output of this quantizer is a set of  $M_1$  codewords closest to the source vector in the 20 sense of some distortion measure. The error vectors are processed by the second quantizer 220 with a smaller structured codebook  $C_2$  of size  $L_2$ . The resulting candidate code vector(s) are then obtained as component wise sums of

the first quantizer output and the corresponding approximated errors by adder 230. The final decision is made by the select best codeword unit 240 which selects from among the candidates the candidate closest to the source vector.

The common property of these suboptimal vector quantizers is that they

- 5 reduce computational complexity by replacing an optimal large size non-structured codebook with a direct sum of small structured codebooks.

## SUMMARY OF THE INVENTION

A reduced complexity vector quantizer is described. According to one embodiment of the invention, a multistage vector list quantizer comprises a first stage quantizer to select candidate first stage codewords from a plurality of first stage codewords, a reference table memory storing a set of second stage codewords for each first stage codeword, and a second stage codebook constructor to generate a reduced complexity second stage codebook that is the union of sets corresponding to the candidate first stage codewords selected by the first stage quantizer.

USPTO Patent Number: 7,658,011

## BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is illustrated by way of example and not limitation in the figures of the accompanying drawings, in which like references indicate similar elements, and in which:

- 5       **Figure 1** (prior art) is a block diagram illustrating a general structure of an LSF encoder based on vector quantization.

**Figure 2** (prior art) is a block diagram illustrating a general structure for two-stage M-best vector quantization.

- 10      **Figure 3** is a block diagram of a two-stage list quantizer according to one embodiment of the invention.

**Figure 4** is a block diagram illustrating a reduced complexity quantizer that uses a non-structured codebook according to one embodiment of the invention.

- 15      **Figure 5A** (prior art) illustrates the result of the combined first and second structured codebooks of a two-stage vector quantizer.

**Figure 5B** (prior art) shows the 4 codewords of the first stage codebook.

**Figure 5C** (prior art) shows the 4 codewords of the second stage codebook (see asterisks).

- 20      **Figure 6** illustrates the design of a non-structured codebook of a two-stage list quantizer according to one embodiment of the invention.

**Figure 7** is a block diagram of a general LSF encoder based on a multistage list quantizer (MSLQ) according to one embodiment of the invention.

**Figure 8** illustrates the bit allocation of 16 bits per LSF MSLQ-based LSF

5 quantizer according to one embodiment of the invention.

## DETAILED DESCRIPTION

In the following description, numerous specific details are set forth to provide a thorough understanding of the invention. However, it is understood that the invention may be practiced without these specific details. In other 5 instances, well-known structures and techniques have not been shown in detail in order not to obscure the invention.

Figure 4 is a block diagram illustrating a reduced complexity quantizer that uses a non-structured codebook according to one embodiment of the invention. Figure 4 shows a searching unit 401 and a quantizer 405. The 10 searching unit 401 includes a non-structured codebook C 402. Both the searching unit 401 and the quantizer 405 received the same source vector. The searching unit 401 uses a technique to dynamically select a subset of the codewords from the non-structured codebook C to form a reduced complexity codebook based on the current source vector. This reduced complexity 15 codebook is provided to the quantizer 405.

The technique used by the searching unit 401 to select codewords from the non-structured code book C 402 to dynamically form the reduced complexity code book from the current input source vector depends on the implementation. However, the technique used will operate by performing less 20 than a comparison of the source vector to every codeword in the codebook C. In particular, assume the codebook C includes  $L$  codewords. The searching unit will identify a subset of the  $L$  codewords without comparing the current source

vector to each of the  $L$  codewords. The reduced complexity codebook is then used by the quantizer 405 to quantize the source vector. As such, the source vector is quantized with a subset of the codewords from the original non-structured codebook  $C$ , rather than a direct sum of small structured codebooks  
5 as used in MSVQ techniques. In addition, the system of **Figure 4** uses a non-structured codebook, without performing all the comparisons required by the prior art full search quantizer. While various techniques can be used to implement the searching unit, several such embodiments are described herein with reference to Figures 3 and 5-7.

10       **Figure 3** is a block diagram of a two-stage list quantizer according to one embodiment of the invention. The advantage of this quantizer over prior art suboptimal quantizers is that the computational complexity is reduced without a loss of quantization accuracy. Let  $C$  be a codebook with  $L$   $k$ -dimensional vectors, generated, for example, by a well-known procedure, such as an LBG  
15 algorithm. The Multistage List Quantizer (MSLQ) 300 starts with a "coarse" pre-quantization of the source vector in the first-stage quantizer 310. First-stage quantizer 310 has a first stage codebook  $C$ , containing  $L_1$  first stage codewords labeled  $x_1$  to  $x_{L_1}$ . Its output is the first stage list of indices of  $M_1$  codewords  $\{j_1, \dots, j_{M_1}\}$  closest to the source vector.

20       This list enters second-stage reduced complexity codebook constructor 330. The second-stage reduced complexity codebook constructor 330 is coupled to reference table memory unit 340. For each index of a codeword from first

stage codebook  $C_i$ , the reference table memory unit 340 keeps a precomputed set of  $P$  indices of second stage codewords from  $C$ . The second stage codebook  $C_2$  is dynamically constructed by selecting codewords from  $C$  based on this table. In particular, let  $C_2(j)$  denote the subset of  $C$  corresponding to the  $x_{i^j}$  codeword from  $C_i$ . The second-stage reduced complexity codebook construction unit creates the second stage reduced complexity codebook as a union of the subsets  $C_2(j)$ , where  $j = 1, \dots, M_1$ ; reduced complexity codebook  $C_2$  having  $L_2$  codewords comprising  $= \bigcup_{i=1}^{M_1} C_2(j_i)$ .

The second stage reduced complexity codebook enters second-stage quantizer 320. The second-stage quantizer selects the best (closest to source vector) codeword from among the codewords of the reduced complexity codebook. This index of the codeword is the output of quantizer 300.

Thus, the searching unit of **Figure 3** uses a codebook  $C$  with  $L$   $k$ -dimensional vectors, generated, for example, by a well known procedure, such as an LBG algorithm. The first-stage quantizer 310 uses a smaller codebook  $C_1$  with  $L_1$  codewords (where  $L_1 < L$ ) based on  $C$  to quantize the source vector. The reduced codebook constructor 330 uses the codewords or indices of codewords selected by the first stage quantizer 310 to identify sets of  $P$  codewords, where  $L/L_1 < P$ , from the reference table 340. The reduced codebook constructor 20 combines the identified sets to create the reduced codebook  $C_2$  having  $L_2$  codewords from  $C$ .

**Figure 5A** (prior art) illustrates the result of the combined first and second structured codebooks of a two-stage vector quantizer. The letters *a-d* symbolize codewords for the first stage codebook, and the numbers 0-15 symbolize codewords for the second stage codebooks. The first stage codewords are evenly distributed to cover the full spectrum of possible frequencies. The codewords for the second stage codebooks are evenly distributed to cover the areas represented by the first stage codewords. The codewords 0-3 cover the region of frequencies corresponding to codeword *a*. Figures 5B and C illustrate individually the structured codebooks of the first and second stage quantizers. Figure 5B (prior art) shows the 4 codewords of the first stage codebook. Figure 5C (prior art) shows the 4 codewords of the second stage codebook (see asterisks). Effectively, whatever codeword(s)  $O_x$  is selected from the first stage codebook, the second stage codebook  ${}^*, \dots, {}_{i+3}^*$  is applied to each selected  $O_x$ .

**Figure 6** illustrates the design of a non-structured codebook of a two-stage list quantizer according to one embodiment of the invention. Consider the case when codebook sizes of both first and second quantizers are equal to 5. The 5 codewords of the first quantizer are labeled by the letters *a, b, c, d, and e*. The entire 16-word second stage codebook is partitioned into 5 intersecting subsets consisting of 5 points each, as shown in the **Figure 6**. In each subset, the 5 points closest to a codeword from first quantizer are included. This partitioning is kept in the reference table memory shown in

**Figure 3** and **Figure 4**. For the example shown in **Figure 6**, this table may be shown in the form shown in Table 1. In Table 1, the codewords are enumerated as shown in **Figure 6**. The quantization method uses a first-stage codebook of size  $L_1$ , a second-stage codebook of size  $L_2$ , and a list size  $M$  as  $(L_1, L_2, M)$

5 -scheme. The considered example represents (5,5,1)-scheme. The MSE for this scheme and other list quantization schemes for rate 2 dimension 2 case are given in Table 2.

1st codebook word	Second codebook
A	0,3,5,7,8
B	1,2,4,6,8
C	5,7,10,11,13
D	8,11,12,13,14
E	6,9,12,14,15

TABLE 1

Quantization scheme ( $L_1, L_2, M$ )	MSE	Complexity
(5,5,1)	0.110	10
(5,6,1)	0.108	11
(5,7,1)	0.105	12
(5,5,2)	0.105	13.49

TABLE 2

MSE and complexity of some list quantization schemes for 16 codewords  
2-dimensional quantizers

15

The complexity  $\kappa_2$  of the multistage list quantizer shown in **Figure 3** is

$$\kappa_2 = L_1 + \left| \bigcup_{i=1}^M C_2(j_i) \right| \leq L_1 + ML_2, \quad (2)$$

where  $L_1$  and  $L_2$  are the sizes of first-stage and second-stage codebooks, and  $M$  is the number of candidates kept after the first stage, and  $C_2(j_i)$  denotes the

second-stage codebook corresponding to codeword  $j_i$  of the first-stage codebook. The total number of codewords is, in general, less than  $L_1 L_2$ . Note that the value of  $\kappa_2$  depends on the list of candidates  $(j_1, \dots, j_M)$  chosen by the first-stage quantizer. It means that the complexity of this scheme is a random variable, but is upper bounded by the right side of inequality (2).

For example, consider a (5,5,2)-scheme. **Figure 6** and Table 1 show that depending on the 2 words chosen by the first-stage quantizer, the second-stage quantizer will search for the best codeword among 8 or 9 candidates. For instance, if first-stage quantizer chose pair  $\{a, b\}$  as a list, then the number of candidates is equal to 9, if the pair  $\{a, c\}$  is chosen, then number of candidates is equal to 8. Taking into account that first stage quantizer computes the error 5 times, the total complexity of (5,5,2)-scheme is estimated as 13.49.

Complexities of different 16-word 2-dimensional quantizers are given in Table 2. Note that (5,7,1) and (5,5,2) methods provide the same quantization quality as a prior art full search quantizer and requires fewer computations. At the same time conventional two-stage M-best quantizers can not provide this quality level irrespectively of the computational complexity. In general, the computational load may be reduced 4-5 times for 4-5 dimensional codebooks of size equal or greater than 512 codewords.

The MSLQ, in a two-stage embodiment, may use two codebooks: RQC (rough quantization codebook) and FQC (fine quantization codebook). Also, the MSLQ can store the reference table information describing each RQC entry, the

- indices of some predetermined number FQC entries surrounding the RQC vector. MSLQ 300 can implement the following steps. Use an RQC for input vector quantization, and select a predetermined number of candidates. Then, construct a second-stage codebook. This subbook is union of FQC subsets
- 5 corresponding to selected candidates in reference table. Among the second-stage codebook entries, choose the one closest to input vector in the sense of predetermined distortion measure. Use it's FQC index as a codeword.

This method may be used for more than two quantization stages. For this purpose the sequence of codebooks of increasing size have to be constructed.

- 10 For each of the previous-stage codewords, the predetermined number indices of the next-stage codewords surrounding that previous-stage codeword are kept in the reference table. Quantization starts with list quantization using the smallest codebook. Then using reference table(s) the second stage codebook is constructed as a union of the sets corresponding to the candidates chosen on
- 15 the first stage, etc. The final quantization result is one of largest codebook entries. Its index is a codeword corresponding to current LSF vector.

- An alternative embodiment of vector quantization utilizing MSLQ shown in **Figure 3** is shown in **Figure 7**. A set of predicted LSF vectors (e.g., one or more vectors reconstructed from previous quantized LSF vectors) enter
- 20 the first-stage quantizer unit 710 to be used as part of a codebook that includes a set of standard LSF vectors. In addition, the current LSF vector enters the first-stage quantizer unit 710. The first-stage quantizer 710 selects a

predetermined number of candidates from the codebook that provide the best approximation of current LSF vector in the sense of some distortion measure.

The output of first-stage quantizer 710 is the list of indices of the chosen candidates with corresponding prediction error vectors. The list of indices and

5 error vectors enter switch unit 720. The switch 720 forwards each error vector to either the first splitting means 730 or to the second splitting means 740 depending on the corresponding candidate index. For example, the error vector for the predicted LSF may be forwarded to first splitting means 730, and the error vector for the standard LSF vectors may be forwarded to second

10 splitting means 735.

Further processing of error vectors is performed by two independent branches. These branches differ one from another in parameters of splitting means and codebooks used for subvectors quantization. It is clear that generally speaking any number of processing branches may be used in another embodiment of the present invention. Those vectors that enter first splitting means 530 are split into a predetermined number of subvectors of smaller dimension. In this embodiment the input vectors are split into 2 subvectors each. Then each subvector is quantized by a corresponding MSLQ unit 740, 750.

A similar processing occurs in second splitting means 735 and MSLQ units 760 20 and 770. Each of the MSLQ units may have its own set of codebooks different from codebook used by other MSLQ units. The outputs of the MSLQ units are sets of quantized subvectors along with corresponding codebook indices. This

information enters the select best candidate unit 780, where a final decision about the best candidate is made. The output of quantizer contains the index of the best candidate and indices of 4 codebooks calculated in MSLQ units 740, 750, 760, 770.

- 5        The split-vector modification of the MSLQ of **Figure 3** used by the apparatus of **Figure 7** is referred to herein as split multistage list quantization (SMSLQ). In one embodiment, the SMSLQ-based method for quantizing a sequence of LSF vectors consists of the following steps: calculate an LSF vector for the current frame and calculate a set of predicted LSF vectors; calculate  
10      distance measure between the current LSF and codewords in a codebook including the set of predicted LSF vectors and a set of standard LSF vectors, select a predetermined number of candidates from the codebook having a minimal distortion measure; send the error vectors for the candidates for SMSLQ; and apply SMSLQ with different codebooks  $C(j)$  for quantizing the  
15      error vectors  $e(j)$ , where  $j$  denotes the candidate index; select the one of the candidates for which that candidate and its quantized error vector provides the best approximation of the current LSF vector in the sense of a given distortion measure; and construct the fixed length codeword as a concatenation of a variable rate encoded candidate index and the variable rate encoded quantized  
20      error vector.

As indicated above, the codebook (or set of candidates) used by the first-stage quantizer 710 includes 2 parts: a standard part and an adaptively varying

part. The varying part is represented by the set of predicted LSF vectors. Variable length codewords are assigned to the candidates, because predicted LSF vectors usually are chosen more frequently than the standard LSF vectors. To satisfy this requirement, variable size codebooks are used for the 5 second-stage (SMSLQ) quantization.

The advantage of MSLQ quantization over prior art MSVQ quantization is that MSLQ achieves the same quality as an exhaustive search over the FQC codebook, whereas the set of MSVQ-quantized vectors is direct sum of the stage 10 codebook. The non-structured FQC codebook provides significantly better quantization accuracy than the structured codebooks used in the traditional multistage M-best quantization procedure.

The performance of this embodiment can be compared with the performance of other LSF coding schemes using a weighted Euclidean distance measure which is widely used in speech coding. This weighted distance (WD) 15  $d(\mathbf{f}, \mathbf{f}')$  between the input vector  $\mathbf{f} = (f'_1, \dots, f'_p)$  and the quantized vector  $\mathbf{f}' = (f'_1, \dots, f'_p)$  is given by

$$d(\mathbf{f}, \mathbf{f}') = \sum_{j=1}^p w_j (f_j - f'_j)^2, \quad (3)$$

where  $p$  is the number of elements in  $\mathbf{f}$ , and  $w_j$  is a weight assigned to the  $j$  th frequency.  $p = 10$  in this example. Also, weighting coefficients  $w_j$  used in 20 G.723 standard, are applied. This metric weights  $w_j$  are given by

$$\begin{aligned} w_1 &= 1/(f_2 - f_1), \\ w_j &= 1 / \min(f_j - f_{j-1}, f_{j+1} - f_j), \quad j = 2, \dots, 9, \end{aligned}$$

$$w_{10} = 1/(f_{10} - f_9).$$

In one embodiment of the present invention the following parameters of the quantizer of **Figure 7** are chosen. Denote by  $N$  the number of codewords in the codebook of the first-stage quantizer 710. In one embodiment, one (first) of 5 these codewords is formed from the previous quantized LSF vector as a predicted LSF vector value, while the rest of the ( $N - 1$ ) codewords do not depend on the previous LSF vectors (e.g., they are precomputed using LBG approach). Alternate embodiments use more predicated LSF vectors.

Denote by  $M$  the number of candidates chosen by the first-stage 10 quantizer. The switch unit forwards to first splitting means those error vectors which correspond to the predicated LSF vector (if the predicated LSF vector is selected as one of the candidates), and it forwards to second splitting means the remaining error vectors. Both splitting means split input 10-dimensional vectors into pair of 5-dimensional vectors. Denote by  $L_1, L_2, L_3$  and  $L_4$  the 15 codebook sizes of codebooks used in MSLQ 1, ..., MSLQ 4 units. These codebooks are also found using the LBG technique. The parameters of the MSLQ units may be chosen by such a way that quantization precision is the same as for a full-search quantization. To achieve a better number of 20 bits/quantization accuracy tradeoff, a variable-length encoding of candidate indices and different sizes  $L_1, \dots, L_4$  are used. To meet the fixed total number of bits constraint, a larger codebook is used for those candidates for which the

candidate's codeword length is shorter. An example of bit allocation is shown on **Figure 8**.

The simulation results for different bit rates and bit allocations are shown in Table 3 for fixed rate LSF quantizers with bit rate 15...22 b/frame.

- 5 The quantization accuracy is characterized by the average weighted distortion (AWD). The AWD for FS-1016 standard scalar 34 bits/frame quantizer and 24 bits/frame vector-split ITU G.723 standard quantizer are given for the comparison.

Quantization scheme					Number of bits per LSF vector	Average weighted distance (dB)	
Number of candidates N	List size M	Book sizes					
		$L_1$	$L_2$	$L_3$	$L_4$		
2	2	<u>128</u>	<u>128</u>	<u>128</u>	<u>128</u>	15	6.31
3	3	256	128	128	128	16	5.51
4	4	256	256	128	128	17	4.87
3	3	256	256	256	256	18	4.30
5	4	512	512	256	256	19	3.62
4	4	512	512	512	512	20	3.14
8	4	512	512	512	512	21	2.92
16	4	512	512	512	512	22	2.10
FS-1016 Standard					34	5.73	
G.723 Standard					24	2.90	

TABLE 3

While the invention has been described in terms of several embodiments, those skilled in the art will recognize that the invention is not limited to the embodiments described. The method and apparatus of the invention can be practiced with modification and alteration within the spirit and scope of the appended claims. The 15 description is thus to be regarded as illustrative instead of limiting on the invention.

## CLAIMS

What is claimed is:

1 1. An apparatus for audio compression comprising:  
2       a searching unit having an input to receive a source vector and an output to  
3               provide a reduced version of a non-structured codebook; and  
4       a first quantizer having a first input coupled to receive said source vector and  
5               coupled to said output of said searching unit.

1 2. The apparatus of claim 1 wherein said searching unit comprises:  
2       said non-structured codebook with codewords broken into a plurality of  
3               overlapping sets, each of said sets being mapped to a representative  
4               codeword, said representative codewords forming a first codebook;  
5       a second quantizer coupled to said first codebook, said second quantizer having  
6               an input to receive said source vector and having an output to provide a  
7               list identifying a subset of said representative codewords; and  
8       a codebook constructor unit coupled to said non-structured codebook and said  
9               first quantizer to form said reduced version of said non-structured  
10          codebook.

1 3. An apparatus for audio compression comprising:  
2       a first quantizing unit having an input to receive a source vector and having an  
3               output to identify different ones of a plurality of representative codewords  
4               based on said source vector;  
5       a storage unit having stored therein a non-structured codebook whose codewords  
6               are broken into sets, each set being mapped to a different one of said  
7               representative codewords;

8       a codebook constructor coupled to said first quantizing unit and said storage unit  
9                  and having an output to provide a reduced version of said non-structured  
10                 codebook; and  
11        a second quantizing unit coupled to said codebook constructor and having an  
12                 input to receive said source vector.

1       4.      The apparatus of claim 3, wherein  
2                 said codebook constructor generates said reduced version of said non-structured  
3                 codebook from the union of the sets corresponding to the currently  
4                 identified representative codewords.

1       5.      The apparatus of claim 3 wherein said sets overlap.

1       6.      The apparatus of claim 3, wherein said first stage quantizing unit provides at said  
2                 output a list of indices for the ones of said plurality of representative codewords closest to  
3                 said source vector.

1       7.      An apparatus for audio compression comprising:  
2                 a storage unit having stored therein a set of candidates including  
3                 a set of standard codewords, and  
4                 a set of predicted codewords;  
5                 a first stage quantizer coupled to said storage unit and having an input to receive a  
6                 source vector and a new predicted codeword, said first stage quantizer  
7                 having an output to generate a list of error vectors based on said  
8                 candidates and said source vector and generate a list of indices of said  
9                 candidates corresponding to said error vectors;

10        a logic unit coupled to said first stage quantizer and having an output to transmit a  
11                first subset of error vectors including each error vector from said list of  
12                error vectors with an index from said list of indices corresponding to one  
13                of said predicted codewords, and a second subset of error vectors  
14                including each error vector from said list of error vectors with an index  
15                from said list of indices corresponding to one of said standard codewords;  
16        a first splitting unit coupled to said logic unit and having an output to generate a  
17                plurality of subvectors from said first subset of error vectors;  
18        a second splitting unit coupled to said logic unit and having an output to generate  
19                a plurality of subvectors from said second subset of error vectors;  
20        a plurality of multistage vector list quantizers (MSLQ), certain of said plurality of  
21                MSLQ coupled to said first splitting unit and certain of said plurality of  
22                MSLQ coupled to said second splitting unit, said plurality of MSLQ  
23                having output to generate a plurality of quantized subvectors; and  
24        a quantizer coupled to said plurality of MSLQ and having an input to receive said  
25                source vector and having an output to generate an index from said list of  
26                indices of a best candidate and to generate a list of indices for said  
27                plurality of quantized subvectors from said plurality of MSLQ.

1        8.      A method of audio compression comprising:  
2                selecting from a non-structured codebook a subset of codewords to form a  
3                reduced complexity codebook based on said source vector; and  
4                quantizing said source vector with said reduced complexity codebook.

1        9.      The method of claim 8, wherein said selecting includes quantizing said source  
2                vector with a first-stage codebook, said first stage codebook having codewords based on  
3                said non-structured codebook.

1       10. The method of claim 8, wherein said selecting comprises:  
2           searching a first stage non-structured codebook for a list of codewords closest to a  
3           source vector; and  
4           constructing the reduced complexity non-structured codebook based on said list of  
5           codewords.

1       11. The method of claim 10, wherein said constructing comprises:  
2           selecting a different set of codewords from a main non-structured codebook for  
3           each codeword identified by said list.

4       12. A method of audio compression comprising:  
5           searching a first stage non-structured codebook for a predetermined number of  
6           codewords;  
7           looking up a plurality of sets of codewords in a table based on the codewords  
8           selected as the predetermined number, each set of codewords from said  
9           plurality corresponding to a different codeword in said first stage non-  
10          structured codebook;  
11          constructing a non-structured codebook from a union of said plurality of sets of  
12          codewords; and  
13          quantizing a source vector with said non-structured codebook.

1       13. The method of claim 12 wherein said searching includes selecting as the  
2          predetermined number the codewords of said first-stage non-structured codebook that are  
3          closest to said source vector.

1       14. The method of claim 12 wherein said plurality of sets of codewords overlap.

1    15. The method of claim 12, wherein said quantizing includes selecting the one of  
2    said codewords in said non-structured codebook closest to said source vector.

1    16. A method of audio compression comprising:  
2         selecting from a first stage codebook a list of codewords closest to a source  
3                 vector, wherein a main non-structured codebook was used to create the  
4                 non-structured first stage codebook, wherein the first stage codebook has  
5                 fewer codewords than the main non-structured codebook;  
6         using said list of codewords to select a plurality of sets of codewords from the  
7                 main codebook;  
8         creating a reduced codebook from the union of said plurality of sets of  
9                 codewords; and  
10      selecting from said reduced codebook a codeword closest to said source vector.

1    17. The method of claim 16 wherein each of said sets of codewords from the main  
2    codebook correspond to a different codeword from said first stage codebook.

1    18. The method of claim 16 wherein said plurality of sets of codewords overlap.

2    19. A method of audio compression comprising:  
3         quantizing a source vector with a codebook comprising a set of standard  
4                 codewords and a set of predicted codewords;  
5         selecting a list of smallest error vectors based on said quantizing and a list of  
6                 indices for codewords corresponding to the error vectors on said list;  
7         splitting an error vector from said list of smallest error vectors into multiple  
8                 subvectors with a first splitting unit if said error vector's index from said  
9                 list of indices corresponds to one of said set of predicted codewords;

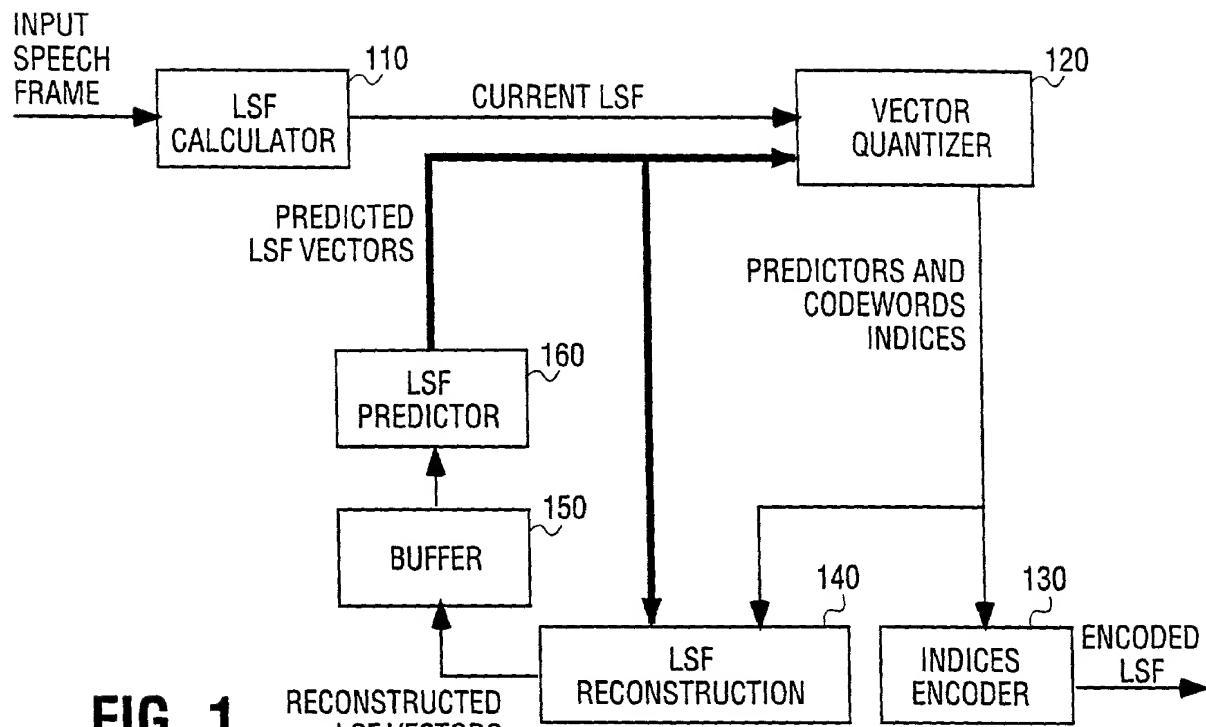
10 splitting an error vector from said list of smallest error vectors into multiple  
11 subvectors with a second splitting unit if said error vector's index from  
12 said list of indices corresponds to one of said set of standard codewords;  
13 quantizing said multiple subvectors with multiple multistage vector list quantizers  
14 into multiple quantized subvectors;  
15 selecting a best candidate based on said multiple quantized subvectors and said  
16 source vector; and  
17 transmitting an index for said best candidate and indices for said multiple  
18 quantized subvectors.

1 20. The method of claim 19 wherein each of said multiple multistage vector list  
2 quantizers utilizes a different codebook.

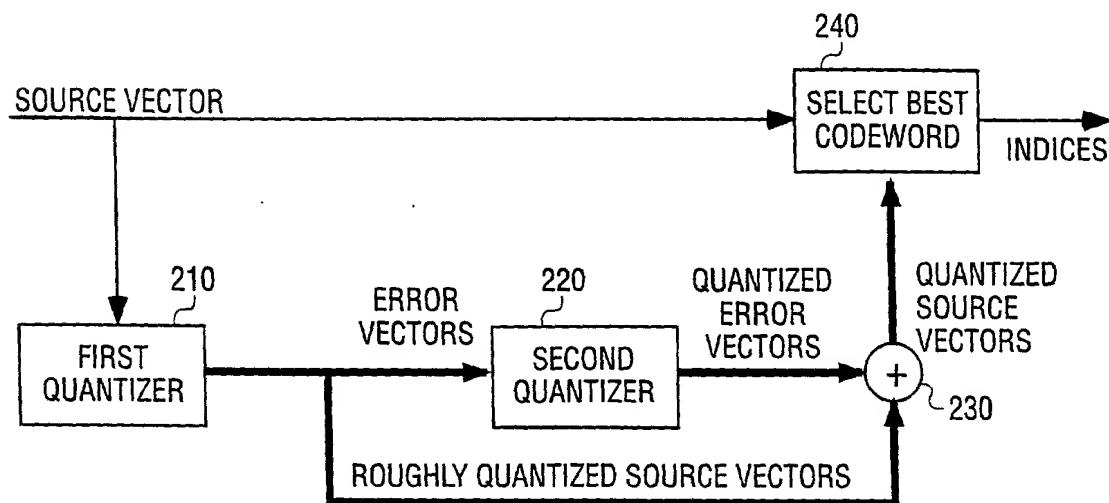
### ABSTRACT

A reduced complexity vector quantizer. According to one embodiment of the invention, a multistage vector list quantizer comprises a first stage quantizer to select candidate first stage codewords from a plurality of first stage codewords, a reference table memory storing a set of second stage codewords for each first stage codeword, and a second stage codebook constructor to generate a reduced complexity second stage codebook that is the union of sets corresponding to the candidate first stage codewords selected by the first stage quantizer.

10

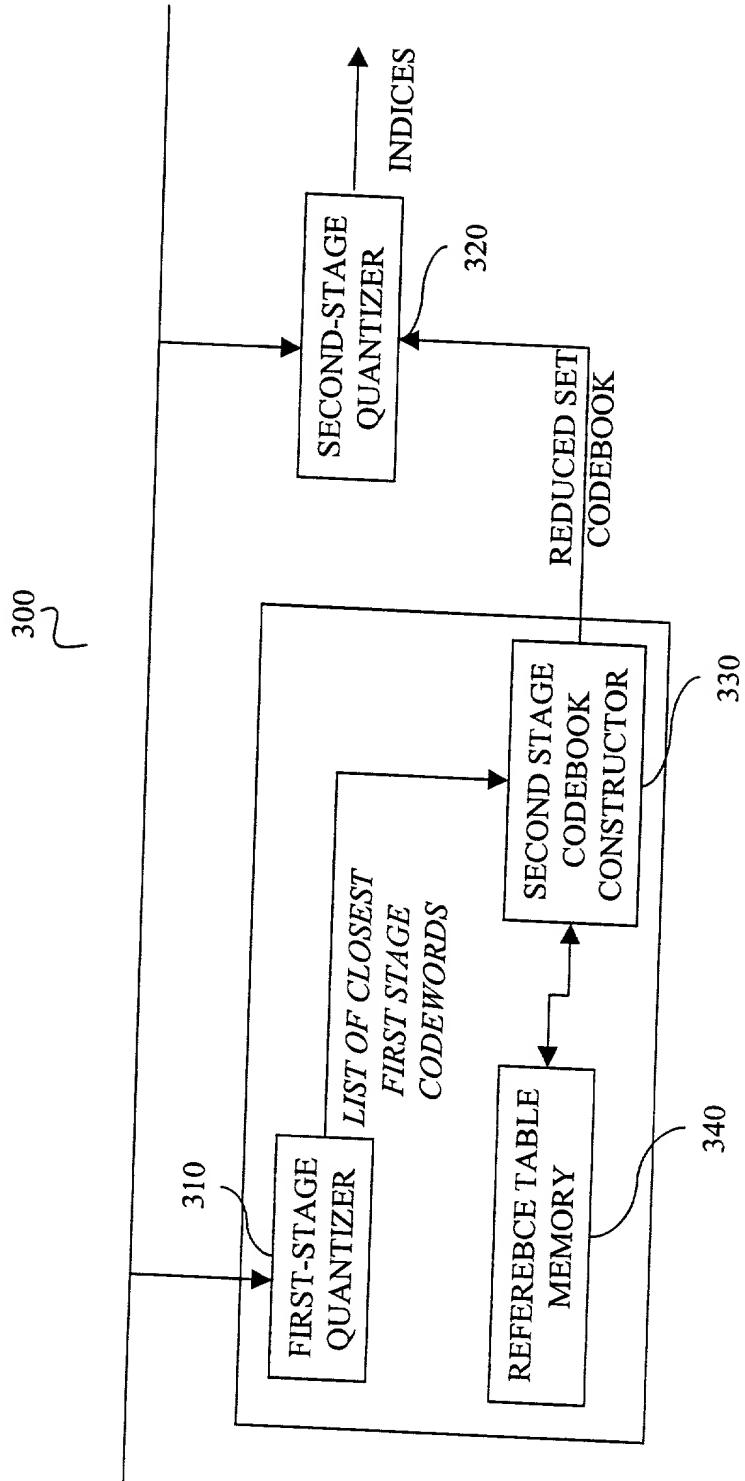


**FIG. 1  
(PRIOR ART)**



**FIG. 2  
(PRIOR ART)**

**Fig. 3**



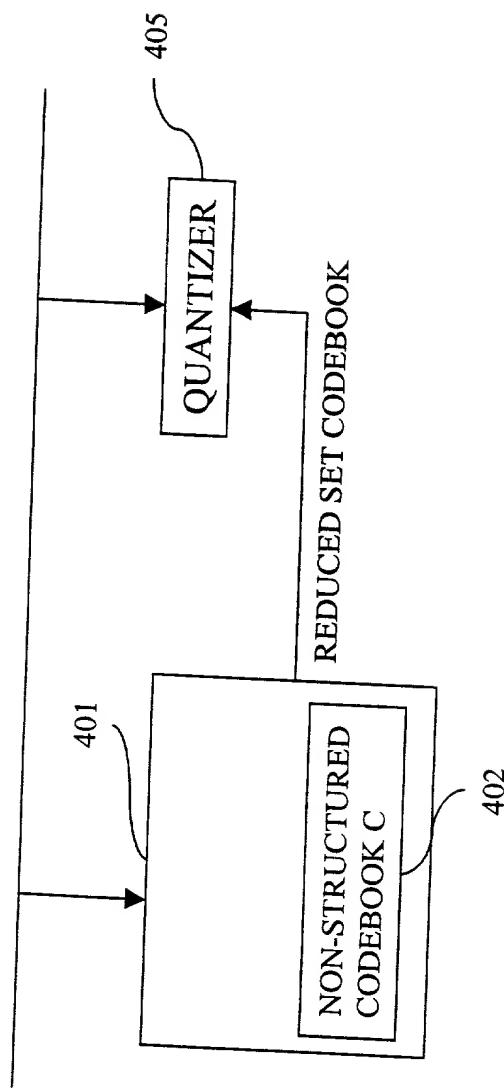
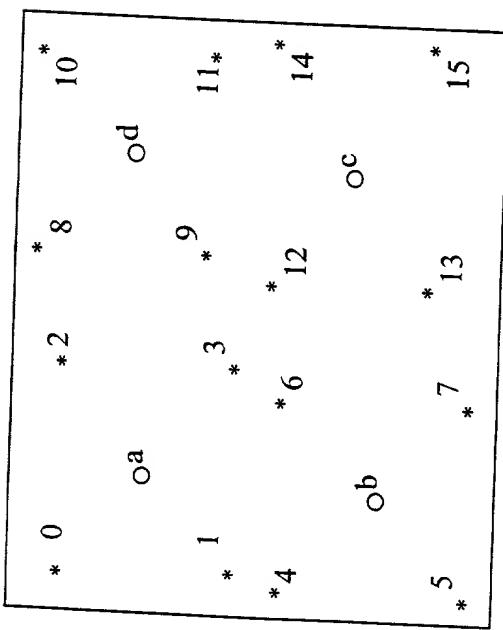
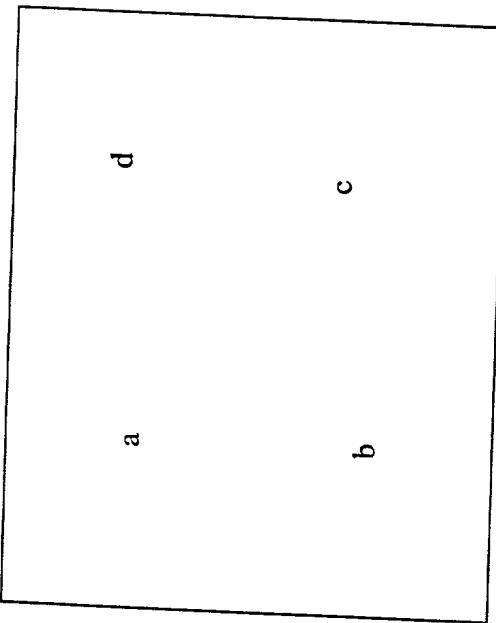


Fig. 4

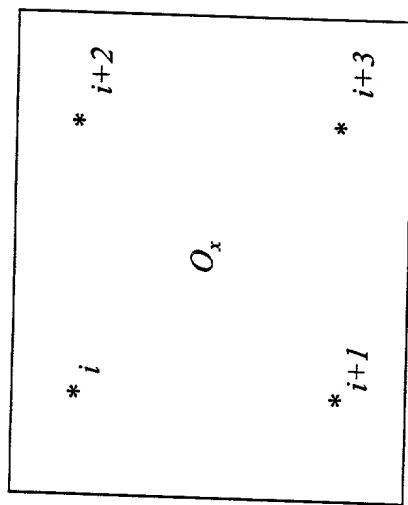
**Fig. 5A**



**Fig. 5B**



# Fig. 5C



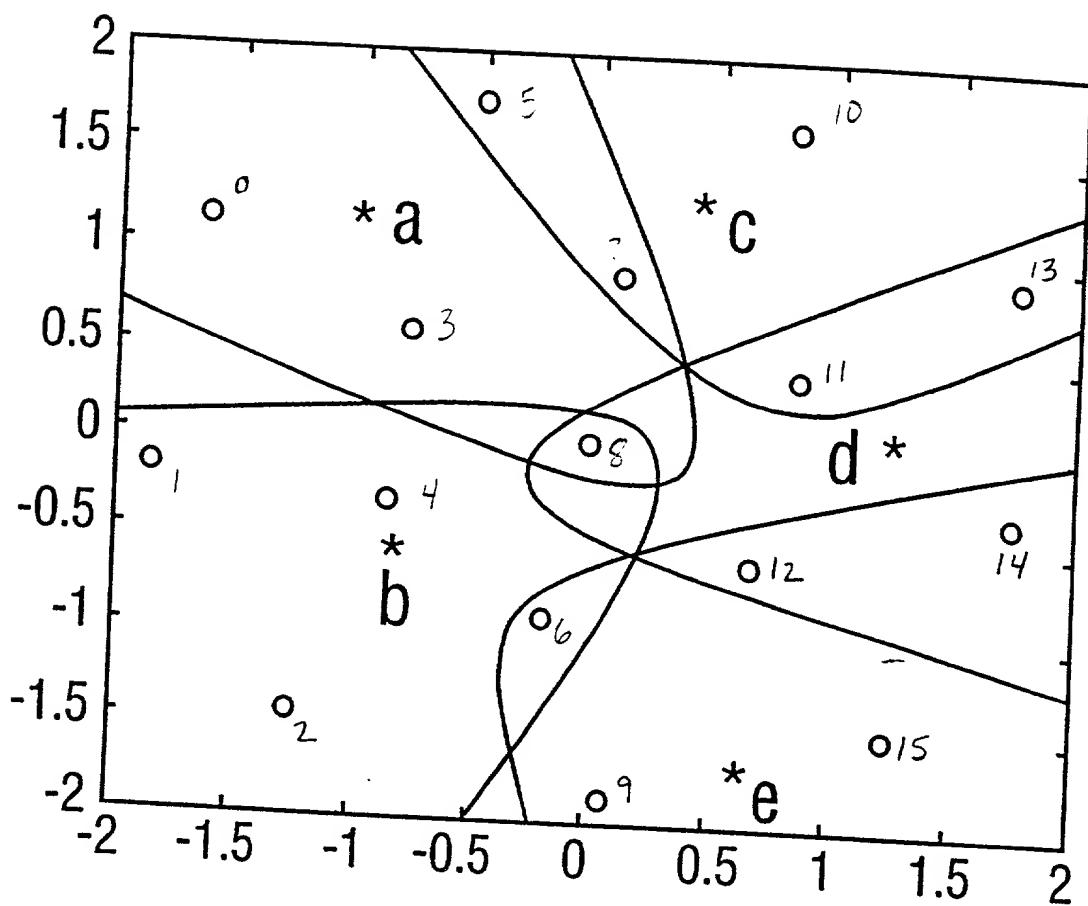


Fig. 6

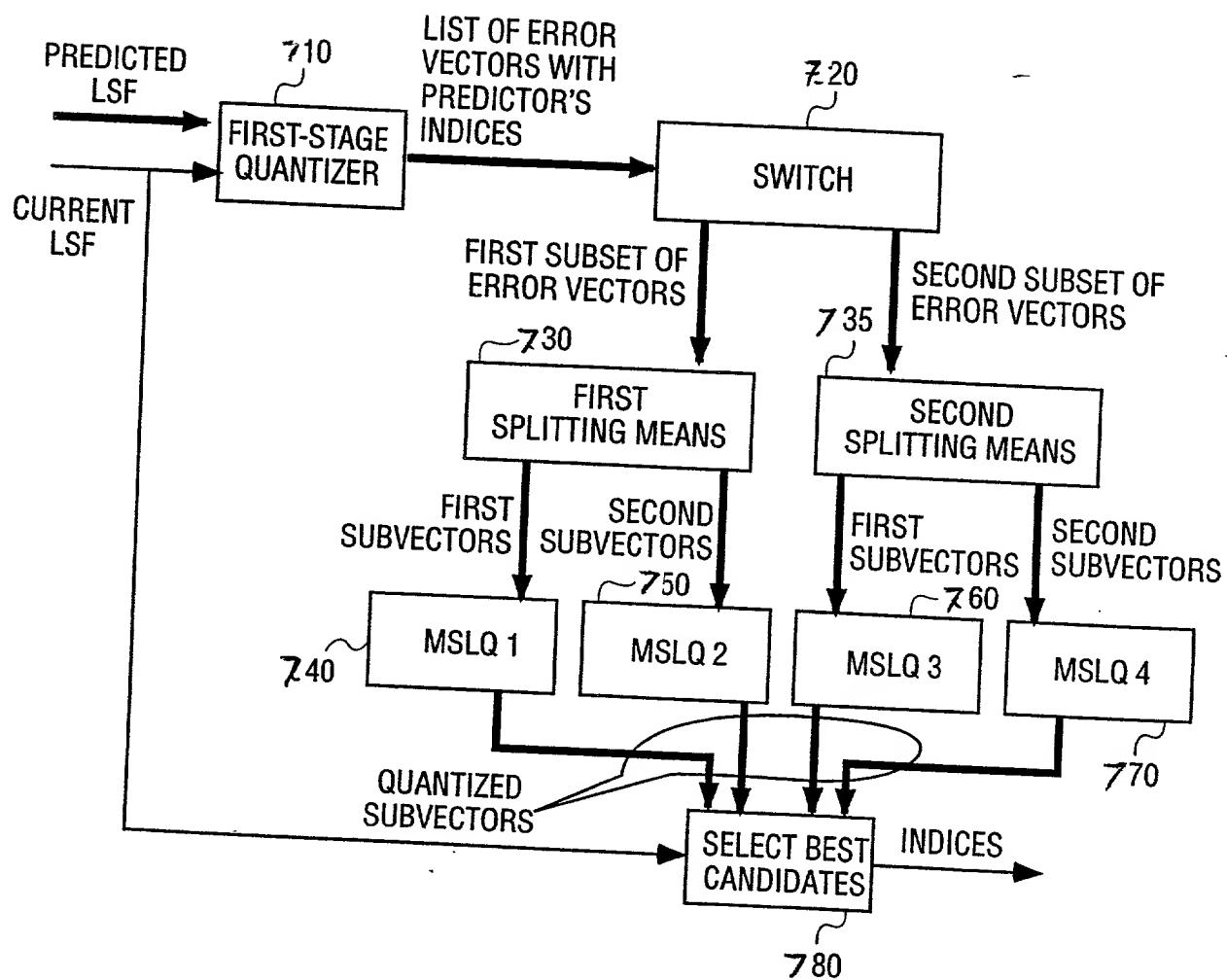
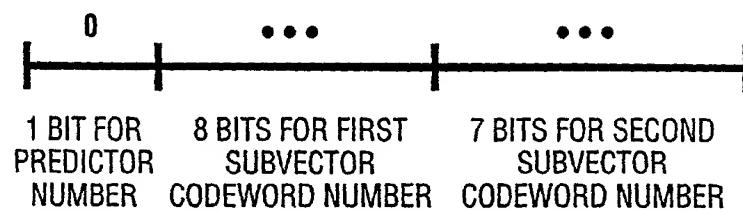


Fig. 7

**EXAMPLE OF BIT ALLOCATION FOR 16 BITS PER LSF VECTOR CODING,  $N=3$ ,  $M_1=256$ ,  
 $M_2=M_3$ ,  $M_4=128$ .**

**A) IF FIRST PREDICTOR IS THE BEST:**



**B) IF 2D OR 3D PREDICTOR IS THE BEST:**

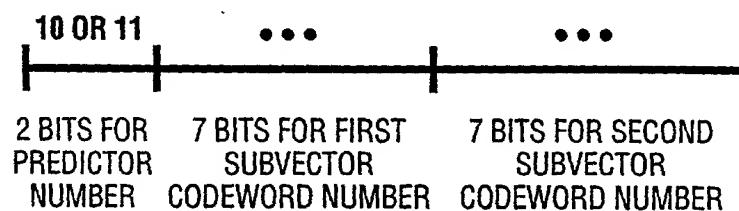


Fig. 8

Attorney's Docket No.: 76580.P011

PATENT

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

**My residence, post office address and citizenship are as stated below, next to my name.**

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

## LINEAR SPECTRAL FREQUENCIES CODING FOR LOW BIT RATE SPEECH COMPRESSION

the specification of which

X is attached hereto.  
was filed on \_\_\_\_\_ as  
United States Application Number \_\_\_\_\_  
or PCT International Application Number \_\_\_\_\_  
and was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			<u>Priority Claimed</u>	
Number	Country	Day/Month/Year Filed	Yes	No

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

60/157,647 10/4/99  
Application Number Filing Date

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Application Number	Filing Date
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I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Filing Date	Status -- patented, pending, abandoned
Application Number	Filing Date	Status -- patented, pending, abandoned

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

Send correspondence to Daniel M. DeVos, BLAKELY, SOKOLOFF, TAYLOR & (Name of Attorney or Agent)  
ZAFMAN LLP, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to Daniel M. DeVos, (408) 720-8598.  
(Name of Attorney or Agent)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor Victor Kolesnik

Inventor's Signature BK Date 07/31/2000

Residence St. Petersburg, Russia Citizenship Russia  
(City, State) (Country)

Post Office Address 195256, Severnyi av. 77/1, apt. 135,  
St. Petersburg, Russia

Full Name of Sole/First Inventor Boris Kudryashov

Inventor's Signature BJ Date 08/14/2000

Residence St. Petersburg, Russia Citizenship Russia  
(City, State) (Country)

Post Office Address 196211, Kosmonavtov av. 29/1, apt. 72  
St. Petersburg, Russia

Full Name of Sole/First Inventor Eugenij Ovsjanikov

Inventor's Signature Ov Date 08.14.2000

Residence St. Petersburg, Russia Citizenship Russia  
(City, State) (Country)

Post Office Address 192238 Tuzku St. 12-2-195  
St. Petersburg, Russia

Full Name of Sole/First Inventor Sergej Petrov

Inventor's Signature Petrov Date 08.11.2000

Residence St. Petersburg, Russia Citizenship Russia  
(City, State) (Country)

Post Office Address 192238, Budapestskaya St., 38-7-84,  
St. Petersburg, Russia

Full Name of Sole/First Inventor Boris Trojanovsky

Inventor's Signature Trojanovskij Date 08.14.2000

Residence St. Petersburg, Russia Citizenship Russia  
(City, State) (Country)

Post Office Address 196066 Aviationsnaya 13-165  
St. Petersburg, Russia

## APPENDIX A

William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. P42,261; Aloysius T. C. AuYeung, Reg. No. 35,432; William Thomas Babbitt, Reg. No. 39,591; Carol F. Barry, Reg. No. 41,600; Jordan Michael Becker, Reg. No. 39,602; Bradley J. Bereznak, Reg. No. 33,474; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; Gregory D. Caldwell, Reg. No. 39,926; Ronald C. Card, Reg. No. P44,587; Thomas M. Coester, Reg. No. 39,637; Stephen M. De Clerk, under 37 C.F.R. § 10.9(b); Michael Anthony DeSanctis, Reg. No. 39,957; Daniel M. De Vos, Reg. No. 37,813; Robert Andrew Diehl, Reg. No. 40,992; Matthew C. Fagan, Reg. No. 37,542; Tarek N. Fahmi, Reg. No. 41,402; James Y. Go, Reg. No. 40,621; James A. Henry, Reg. No. 41,064; Willmore F. Holbrow III, Reg. No. P41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W Hoover II, Reg. No. 32,992; Eric S. Hyman, Reg. No. 30,139; Dag H. Johansen, Reg. No. 36,172; William W. Kidd, Reg. No. 31,772; Erica W. Kuo, Reg. No. 42,775; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, under 37 C.F.R. § 10.9(b); Paul A. Mendonsa, Reg. No. 42,879; Darren J. Milliken, Reg. 42,004; Lisa A. Norris, Reg. No. P44,976; Chun M. Ng, Reg. No. 36,878; Thien T. Nguyen, Reg. No. 43,835; Thinh V. Nguyen, Reg. No. 42,034; Dennis A. Nicholls, Reg. No. 42,036; Kimberley G. Nobles, Reg. No. 38,255; Daniel E. Ovanezian, Reg. No. 41,236; Babak Redjaian, Reg. No. 42,096; William F. Ryann, Reg. 44,313; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Jeffrey Sam Smith, Reg. No. 39,377; Maria McCormack Sobrino, Reg. No. 31,639; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Vincent P. Tassinari, Reg. No. 42,179; Edwin H. Taylor, Reg. No. 25,129; John F. Travis, Reg. No. 43,203; George G. C. Tseng, Reg. No. 41,355; Joseph A. Twarowski, Reg. No. 42,191; Lester J. Vincent, Reg. No. 31,460; Glenn E. Von Tersch, Reg. No. 41,364; John Patrick Ward, Reg. No. 40,216; Charles T. J. Weigell, Reg. No. 43,398; Kirk D. Williams, Reg. No. 42,229; James M. Wu, Reg. No. P45,241; Steven D. Yates, Reg. No. 42,242; Ben J. Yorks, Reg. No. 33,609; and Norman Zafman, Reg. No. 26,250; my patent attorneys, and Andrew C. Chen, Reg. No. 43,544; Justin M. Dillon, Reg. No. 42,486; Paramita Ghosh, Reg. No. 42,806; and Sang Hui Kim, Reg. No. 40,450; my patent agents, of BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (310) 207-3800, and James R. Thein, Reg. No. 31,710, my patent attorney.

## APPENDIX B

### Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclosure information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclosure all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made or record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.